

# Auditor

## *Essential Task Rating Results*

1	Review and examine financial records and other information (i.e., general and subsidiary ledgers, summary records, and source documents) to draw conclusions and make recommendations.
2	Select a test sample of source documents to determine validity, identify discrepancies, and ensure consistency in accounting records.
3	Collect data using a variety of techniques such as interviews, analytical reviews, observation, inspection and review of documentation to assist in auditing procedures.
4	Evaluate the validity and reliability of data collected to support procedures and ensure compliance with applicable laws.
5	Review activities or transactions for compliance with applicable laws and regulations.
6	Review and evaluate internal controls, accounting records, and/or program information to determine risk and ensure compliance with laws and regulations.
7	Research laws, regulations, policies, procedures and other technical information to obtain an understanding of the program or activity under review.
8	Identify and develop audit findings for presentation to appropriate parties in accordance with auditing standards.
9	Discuss business operations with individuals to determine record types and systems for maintaining records.
10	Discuss audit issues with individuals to promote compliance with applicable laws and regulations.
11	Prepare audit reports which include relevant schedules, methodologies, scope, and findings to present audit results.
12	Prepare audit schedules and working papers to document the audit work performed in accordance with appropriate standards.
13	Track case activities and information from computer databases to gather information and to document findings.
14	Investigate complaints against internal and external stakeholders to determine program and/or regulatory compliance.
15	Report suspicions of fraud to appropriate control authorities to initiate investigations.
16	Write reports of investigations or signed statements citing all affected activities or violations to document the investigation.
17	Gather evidence or data pertaining to an allegation to determine case disposition.
18	Conduct field visits using various types of equipment (e.g., cameras, laptop computer, cell phone) to obtain evidence during an audit.

19	Interview witnesses or individuals related to the audit/investigation to obtain information.
20	Determine audit conclusions through review of collected data to present and confirm with auditee.
21	Conduct entrance and exit conferences with appropriate personnel to discuss the scope, objectives, expectations and findings.
22	Identify and/or modify audit steps to accomplish specific audit objectives.
23	Establish work plans and timelines for the completion of work tasks, assignments, and projects.
24	Physically secure state property and equipment to protect state assets.
25	Adhere to approved work plans and timelines to ensure the completion of projects in accordance with approved project plans.
26	Manage assignments, workload, and projects to track audit caseload and manage inventory to ensure audit efficiency.
27	Advise individuals and provide information to ensure compliance with the procedures, rules, guidelines, and laws of the State.
28	Explain auditing processes and procedures to appropriate personnel to assist in performing the audit.
29	Recommend appropriate actions to bring the auditee into voluntary compliance.
30	Research auditing issues and provide responses to stakeholder's questions.
31	Analyze data collected to prepare summaries and other documentation for making recommendations and completing work tasks.
32	Evaluate the adequacy of statistical samples in terms of how well they represent larger data sets.
33	Organize and compile data and information into reports to ensure accurate and clear documentation.
34	Analyze statistical data related to the financial and operational records
35	Prepare statistical reports and summaries of financial and operational records of the department
36	Research legislation and industry changes using internet and library sources to remain apprised of issues affecting the organization.
37	Conduct research (e.g., internet, library) to retrieve and compile information and data for projects or assignments.
38	Analyze and evaluate problems or issues related to the progress and completion of work projects or assignments to determine impact, assess alternatives for resolution, and/or formulate action plans.
39	Analyze and evaluate the effectiveness of programs, policies, or procedures to improve efficiency or make recommendations.
40	Communicate relevant information with coworkers regarding policies and procedures.
41	Review and respond to inquiries about audits and cases to properly inform interested parties about issues and concerns that impact them.

42	Write memos, letters, and correspondence to communicate with internal and external audiences.
43	Make recommendations to resolve problems or issues related to the completion of work projects or assignments.
44	Deliver presentations at meetings, hearings and/or conferences.
45	Communicate with company representatives to answer questions or explain audit results.
46	Collaborate with other auditors regarding cases and issues to discuss auditing procedures and make decisions.
47	Provide responses to stakeholders and staff regarding audit and financial questions.
48	Translate technical materials into common, every day language for a variety of audiences to assist with understanding.
49	Assist management in the assessment of individual training needs to develop training plans.
50	Write letters detailing additional information required, deadlines, or answers to questions.
51	Develop and prepare presentations, speeches, or talking points to a variety of audiences.
52	Edit documents and written materials (such as memos, letters, reports, audit procedures) to ensure the accuracy and completeness of information presented.
53	Perform peer review of auditing reports to ensure accuracy and completeness.